

This Page Is Inserted by IFW Operations
and is not a part of the Official Record

BEST AVAILABLE IMAGES

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images may include (but are not limited to):

- BLACK BORDERS
- TEXT CUT OFF AT TOP, BOTTOM OR SIDES
- FADED TEXT
- ILLEGIBLE TEXT
- SKEWED/SLANTED IMAGES
- COLORED PHOTOS
- BLACK OR VERY BLACK AND WHITE DARK PHOTOS
- GRAY SCALE DOCUMENTS

IMAGES ARE BEST AVAILABLE COPY.

**As rescanning documents *will not* correct images,
please do not report the images to the
Image Problem Mailbox.**

Freeform Search

Database: **US Pre-Grant Publication Full-Text Database**
US Patents Full-Text Database
US OCR Full-Text Database
EPO Abstracts Database
JPO Abstracts Database
Derwent World Patents Index
IBM Technical Disclosure Bulletins

Term:

Display: Documents in Display Format: Starting with Number

Generate: ☐ Hit List ☒ Hit Count ☐ Side by Side ☐ Image

Search

Clear

Interrupt

Search History

DATE: Thursday, July 15, 2004 [Printable Copy](#) [Create Case](#)

Set Name	Query	Hit Count	Set Name result set
<u>L6</u>	(buy\$ and sell\$ or trad\$ or auction\$ or bi\$) near financial near (instrument or securities)	251	<u>L6</u>
<u>L5</u>	L4 and determin\$	1817	<u>L5</u>
<u>L4</u>	L3 and (quantity or amount or number)	2070	<u>L4</u>
<u>L3</u>	financial near (instruments or securities)	2488	<u>L3</u>
<u>L2</u>	L1 and customer and trade near3 rules	58	<u>L2</u>
<u>L1</u>	(database or data with base)	472422	<u>L1</u>

END OF SEARCH HISTORY

Hit List

Clear	Generate Collection	Print	Fwd Refs	Bkwd Refs
Generate OACS				

Search Results - Record(s) 1 through 3 of 3 returned.

☐ 1. Document ID: US 20020065752 A1

Using default format because multiple data bases are involved.

L5: Entry 1 of 3

File: PGPB

May 30, 2002

PGPUB-DOCUMENT-NUMBER: 20020065752

PGPUB-FILING-TYPE: new

DOCUMENT-IDENTIFIER: US 20020065752 A1

TITLE: FINANCIAL CONSOLIDATION AND COMMUNICATION PLATFORM

PUBLICATION-DATE: May 30, 2002

INVENTOR-INFORMATION:

NAME	CITY	STATE	COUNTRY	RULE-47
LEWIS, CHARLES J.	QUOGUE	NY	US	

US-CL-CURRENT: 705/35

Full	Title	Citation	Front	Review	Classification	Date	Reference	Sequences	Attachments	Claims	KMC	Draw. De
------	-------	----------	-------	--------	----------------	------	-----------	-----------	-------------	--------	-----	----------

☐ 2. Document ID: US 6513019 B2

L5: Entry 2 of 3

File: USPT

Jan 28, 2003

US-PAT-NO: 6513019

DOCUMENT-IDENTIFIER: US 6513019 B2

TITLE: Financial consolidation and communication platform

DATE-ISSUED: January 28, 2003

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Lewis; Charles J.	Quogue	NY		

ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE	CODE
Financial Technologies International, Inc.	New York	NY			02	

APPL-NO: 09/ 250752 [PALM]

DATE FILED: February 16, 1999

INT-CL: [07] G06 F 17/00

US-CL-ISSUED: 705/35; 705/38

US-CL-CURRENT: 705/35; 705/38

FIELD-OF-SEARCH: 705/38, 705/39, 705/35, 705/36, 705/42, 707/10, 709/250, 709/226

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
<u>4346442</u>	August 1982	Musmanno	
<u>4376978</u>	March 1983	Musmanno	
<u>4597046</u>	June 1986	Musmanno et al.	
<u>4674044</u>	June 1987	Kalmus et al.	
<u>4700297</u>	October 1987	Hagel, Sr. et al.	
<u>4774663</u>	September 1988	Musmanno et al.	
<u>4926325</u>	May 1990	Benton et al.	705/39
<u>4953085</u>	August 1990	Atkins	
<u>5126936</u>	June 1992	Champion et al.	
<u>5182770</u>	January 1993	Medveczky et al.	
<u>5206803</u>	April 1993	Vitagliano et al.	
<u>5235507</u>	August 1993	Sackler et al.	
<u>5270922</u>	December 1993	Higgins	
<u>5297032</u>	March 1994	Trojan et al.	
<u>5490243</u>	February 1996	Millman et al.	
<u>5671363</u>	September 1997	Cristofich et al.	
<u>5765144</u>	June 1998	Larche et al.	
<u>5774880</u>	June 1998	Ginsberg	
<u>5781654</u>	July 1998	Carney	
<u>5806049</u>	September 1998	Petruzzi	
<u>5826243</u>	October 1998	Musmanno et al.	
<u>5875435</u>	February 1999	Brown	705/30
<u>5890141</u>	March 1999	Carney et al.	
<u>5905974</u>	May 1999	Fraser et al.	
<u>5937402</u>	August 1999	Pandit	707/4
<u>5940809</u>	August 1999	Musmanno et al.	705/35
<u>5963922</u>	October 1999	Helmering	705/35
<u>6014640</u>	January 2000	Bent	705/30
<u>6023684</u>	February 2000	Pearson	705/35
<u>6029147</u>	February 2000	Horadan et al.	705/35
<u>6049783</u>	April 2000	Segal et al.	705/37
<u>6070152</u>	May 2000	Carey et al.	705/35
<u>6092121</u>	July 2000	Bennett et al.	709/250

FOREIGN PATENT DOCUMENTS

FOREIGN-PAT-NO	PUBN-DATE	COUNTRY	US-CL
408077273	March 1996	JP	

OTHER PUBLICATIONS

PR Nweswire Association, Inc, Compuserve Offers Portfolio Management Through the Pawns Financial; Mar. 26, 1996.*

Vermette, Charles E., "FTI Makes a Transition, Company Develops Software for Processing and Accounting of Securities", New York Software Newspaper, Feb. 1998.*

Product Brochure for The Box Universal Financial Sever, from Financial Technologies International.*

Collection of promotional material relating to ancillary products such as The Box, dated in 1997-98.

ART-UNIT: 2764

PRIMARY-EXAMINER: Trammell; James P.

ASSISTANT-EXAMINER: Elisca; Pierre E

ATTY-AGENT-FIRM: Morgan, Lewis & Bockius, LLP

ABSTRACT:

An integrated financial data reporting system provides for real time data entry, assessment, and report generation. The system includes message formatting, database management, and select applications for preparing sophisticated financial presentations in essentially real time. Financial institutions through the system rationalize risk, performance, and compliance positions in a cost-efficient manner.

1 Claims, 32 Drawing figures

Full	Title	Citation	Front	Review	Classification	Date	Reference	Searches	Abstracts	Claims	KMC	Draw De
------	-------	----------	-------	--------	----------------	------	-----------	----------	-----------	--------	-----	---------

☐ 3. Document ID: US 6341369 B1

L5: Entry 3 of 3

File: USPT

Jan 22, 2002

US-PAT-NO: 6341369

DOCUMENT-IDENTIFIER: US 6341369 B1

TITLE: Method and data processing system for specifying and applying rules to classification-based decision points in an application system

DATE-ISSUED: January 22, 2002

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Degenaro; Louis Ralph	White Plains	NY		
Ehnebuske; David Lars	Georgetown	TX		

McKee; Barbara Jane Alspach	Austin	TX
Rasmus; Kevin Paul	Bloomington	IL
Rouvellou; Isabelle Marie Catherine	New York City	NY

ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP	CODE	COUNTRY	TYPE	CODE
International Business Machines Corporation	Armonk	NY					02

APPL-NO: 09/ 204970 [PALM]

DATE FILED: December 3, 1998

PARENT-CASE:

CROSS REFERENCE TO RELATED APPLICATION The present invention is related to applications entitled Method And Apparatus For General Integrity Rule Checking Point In An Application, filed even date hereof, assigned to the same assignee; and Method And Apparatus For Applying Business Rules In An Object Model Driven Context, filed even date hereof, assigned to the same assignee; Managing Business Rules and Using Jurisdiction, Filed Aug. 14, 1998, application Ser. No. 09/134,341; and Method and Apparatus for Identifying Applicable Business Rules, Filed Dec. 18, 1997, application Ser. No. 09/993,718, both of which are signed to a common assignee and incorporated herein by reference.

INT-CL: [07] G06 F 9/44

US-CL-ISSUED: 717/1; 706/47

US-CL-CURRENT: 717/117; 706/47

FIELD-OF-SEARCH: 717/1, 706/47

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
<u>5535389</u>	July 1996	Elder et al.	395/700
<u>5680602</u>	October 1997	Bloem et al.	707/1
<u>6112181</u>	August 2000	Shear et al.	705/1

OTHER PUBLICATIONS

"Principles of Object-Oriented Analysis and Design" James Martin, PTR Prentice Hall Ch 1-22 & Appendix A Jun. 1, 1992.*
Using the SNAP Programming Language, Template Software, version 8.0 Chapter 6, 1997.

ART-UNIT: 2122

PRIMARY-EXAMINER: Chaki; Kakali

ASSISTANT-EXAMINER: Ingberg; Todd

ATTY-AGENT-FIRM: Yee; Duke W. Mims, Jr.; David A. Walder, Jr.; Stephen J.

ABSTRACT:

A method and apparatus for specifying, applying and managing rules used by an application in a data processing system are provided. A set of classification categories are specified, each classification category representing a different purpose of classification. A set of classifications are specified, each classification representing a possible outcome of an act of classifying. A set of control point names are specified, each name being associated with one or more control points in the application. A set of classification rules are specified, each such rule being associated with a classification category and said rule being adapted to analyze the state of the application and classify it by returning one or more classifications. A set of decision rules are specified, each such rule being associated with a classification and a control point name, said rule being adapted to affect the behavior of the application by calculating a value or making a decision. A set of control points is specified and built into the application at those points in the application flow at which variability of behavior controlled by rules is desired, each such control point being associated with a control point name and one or more classification categories. During the running of the application, when a control point as described above is encountered, the control point's associated classification categories are used to select that set of classification rules associated with any of the classification categories and the selected classification rules are then run.

38 Claims, 4 Drawing figures

Full	Title	Citation	Front	Review	Classification	Date	Reference	Generate OACS	Generate OACS	Claims	KVMC	Draw. De
------	-------	----------	-------	--------	----------------	------	-----------	---------------	---------------	--------	------	----------

Clear	Generate Collection	Print	Fwd Refs	Bkwd Refs	Generate OACS
-------	---------------------	-------	----------	-----------	---------------

Terms	Documents
L4 and rules near (data with base or database)	3

Display Format:

[Previous Page](#)

[Next Page](#)

[Go to Doc#](#)